



#3  
PATENT

Packet No: 102.1037.01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Bechtolsheim

Serial No. 09/732,497

Filed: 12/6/2000

For: Packet Processing Engine  
Architecture

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail, in an envelope addressed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

on 3/23/2001  
Date

*Arlette Malhas*  
Name

**REQUEST FOR CORRECTED FILING RECEIPT**

Honorable Assistant Commissioner  
for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Dear Sir:

Attached is a copy of the official filing receipt received from the PTO in the above-referenced application for which issuance of a corrected filing receipt is respectfully requested.

There is an error with respect to the following data:

**Error In**

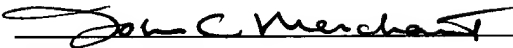
Attorney Docket No.

**Correct Data**

102.1037.01

Respectfully submitted,

Dated: 3-22-01

  
\_\_\_\_\_  
John C. Merchant  
Reg. No. 45,996

Swernofsky Law Group  
P.O. Box 390013  
Mountain View, CA 94039-0013  
(650) 947-0700



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/732,497	12/06/2000	Andreas V. Bechtolsheim	102.1039.01 7

22883  
SWERNOFSKY LAW GROUP  
P O BOX 390013  
MOUNTAIN VIEW, CA 94039-0013

RECEIVED

FEB 02 2001

SWERNOFSKY  
LAW GROUP

CONFIRMATION NO. 9543

## FORMALITIES LETTER



\*OC00000005704211\*

Date Mailed: 01/25/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION


FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$116.
  - \$36 for 2 total claims over 20.
  - \$80 for 1 independent claims over 3.
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 956.

A copy of this notice MUST be returned with the reply.

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/29/2001 160110M 00000102 09732497  
01 FC:101 710.00  
02 FC:105 130.00  
03 FC:103 36.00  
04 FC:102 80.00



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PATENT TRADEMARK OFFICE

Sector \$

#3

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/732,497	
	<b>Filing Date</b>	December 6, 2000	
	<b>First Named Inventor</b>	Andreas V. BECHTOLSHEIM	
	<b>Group Art Unit</b>	Not Assigned	
	<b>Examiner Name</b>	Not Assigned	
<b>Total Number of Pages in This Submission</b>	15	<b>Attorney Docket Number</b>	102.1037.01

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Declaration by Inventors; Statement
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	Under 37 CFR 3.73 (b); Request For
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	Corrected Filing Receipt; Return Postcard
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	John C. Merchant Reg. No. 45,996
Signature	
Date	March 23, 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <input type="text" value="March 23, 2001"/>			
Typed or printed name	ARLETTE MALHAS		
Signature		Date	March 23, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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PATENT TRADEMARK OFFICE

PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 956

**Complete if Known**

Application Number	09/732,497
Filing Date	December 6, 2000
First Named Inventor	Andreas V. BECHTOLSHEIM
Examiner Name	Not Assigned
Group Art Unit	Not Assigned
Attorney Docket No.	102.1037.01

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 50-0365  
Deposit Account Name: Swernofsky Law Group

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)		
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$ 710

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
22	-20** = 2	18	36
4	-3** = 1	80	80
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 116

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

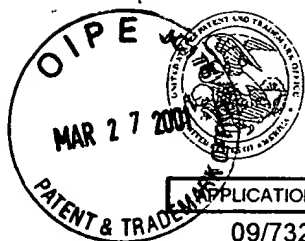
SUBTOTAL (3) (\$ 130

**SUBMITTED BY**

Name (Print/Type)	John C. Merchant	Registration No. (Attorney/Agent)	45,996	Telephone	(650) 947-0700
Signature		Date	March 22, 2001		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



## UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/732,497	12/06/2000	2151	102.1038.01	102.1037.01	3	22	4

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MOUNTAIN VIEW, CA 94039-0013

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102.1037.01  
SWERNOFSKY  
LAW GROUP

CONFIRMATION NO. 9543

## FILING RECEIPT



\*OC00000005704210\*

Date Mailed: 01/25/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Andreas V. Bechtolsheim, Stanford, CA;  
David R. Cheriton, Palo Alto, CA;

## Continuing Data as Claimed by Applicant

## Foreign Applications

If Required, Foreign Filing License Granted 01/19/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

## Title

Packet processing engine architecture

## Preliminary Class

709

CTS

**Arlette Malhas**

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**From:** Lisa Gilligan  
**Sent:** Thursday, March 22, 2001 4:58 PM  
**To:** Arlette Malhas; Andrea Foelz; John Fleming  
**Cc:** Dede Stolee; Terry Martinez  
**Subject:** Updates to Cisco Procedures



The two e-mails attached are updates to the Cisco patent prosecution guidelines document they sent earlier this week. Please print these out and keep these with your copy of the guidelines (if you printed the earlier version).

The first e-mail requests that we send an e-mail everytime we file a new application -- this applies to Regular, Provisional, CON's, CIP's, DIV's, Trademarks, PCT's, Foreigns (we don't really do Trademarks, PCT or foreigners for them, but I've included them here just in case). If we file a CPA or RCE, these do not really qualify as NEW applications, so we don't need to e-mail them.

It would be great if the paralegal who files the application, send this e-mail, print out a copy, and give it to me with the file copy of the application. If I do not see it attached to the file copy of the application, I will go ahead and send the e-mail and print it for the file.

The second e-mail discusses their preferred format for their bi-monthly status reports. Dede is going to handle the creation and sending of these reports. I will be her back-up.

Please let me know if you have any questions or suggestions for dealing with these new guidelines.

Thanks,  
-Lisa

-----Original Message-----

**From:** Steven Swernofsky  
**Sent:** Thursday, March 22, 2001 4:44 PM  
**To:** Lisa Gilligan  
**Subject:**

RE: Format for status  
report

Re: Format for status  
report

Steven A. Swernofsky  
Senior Partner, Swernofsky Law Group, +1.650.947.0700, sasw@swernofsky.com, www.swernofsky.com

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